

Complaints

Introduction

RC Brown Investment Management PLC (RCBIM) strives to provide the highest possible standards of service to our clients at all times; as such we take complaints very seriously and welcome the opportunity to resolve matters in a prompt, fair, transparent and independent manner ensuring we provide good outcomes to our clients.

Our aim is to resolve all complaints as soon as possible after we receive your communication. We will always try to put matters right swiftly and most problems can usually be resolved within a few days; however, there may be times (if the investigation is complex and/or further enquiries need to be made) that the process takes longer. In these circumstances, we shall keep you informed of progress.

How to make a complaint

If you have a complaint, please contact us via one of the following routes to ensure your case is reviewed and the matter investigated.

By email: compliance@rcbim.co.uk

By Post: The Compliance Director, RCBIM 1 The Square, Temple Quay, Bristol BS1 6DG

By Phone: 0117 925 6073

Information we need from you

As we make complaints resolution our highest priority, it would assist us if you could include the following information when you contact us:

- Your name, address and account details
- A clear description of your concern or complaint
- Details of what you would like to do to resolve the complaint
- Copies of any relevant documents/information
- A daytime telephone number or email address and any times which we can contact you

Investigating your complaint

- If we are unable to resolve your complaint within 3 days, we will acknowledge receipt of your communication within 5 days following the receipt of your complaint.
- We will advise you of the name of the person that will be dealing with your concerns.
- We will endeavour to respond to your complaint as quickly as possible but inevitably some complaints take longer to resolve because of their complexity or the need to obtain further information.
- Within eight weeks of receiving your complaint we will either:
 - a) accept the complaint and, where appropriate, offer redress or remedial action; or
 - b) offer redress or remedial action without accepting the complaint; or
 - c) reject the complaint and give the reasons for doing so.

Investors' Rights

RCBIM hopes to resolve all complaints in a prompt and fair way. On receipt of a final response, or if eight weeks have passed since we received your complaint (whichever is

earlier), you have the right to refer your complaint to the Financial Ombudsman Service (FOS) if you remain dissatisfied.

The financial ombudsman service is free of charge and may be contacted at:

Financial Ombudsman Service
Exchange Tower
London
E14 9SR

Tel: 0300 123 9123

Email: complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk

If you choose to refer your complaint to the FOS, you must do so within six months of receiving our final response.